

APPROVED	C.G. FIG.	
BY	CLASS	SUBCLASS
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Company				
	A Organization Purpose	B Governance	C Business Assets	D Intellectual Capital
1	The Vision	The Organization	The Products	Human Resources
2	The Opportunity	The Team	The Market	Codified Capital
3	The Plan	The Tools	The Financials	Relationships

FIG. 1(a)

R&D Organization			
	A Setting the Stage	B Undertaking the Task	C Making the Impact
1	Vision Mission Mandate	Business Relevance	Technology Acquisition/ Transfer
2	Human Resources	Program Management	Corporate Impact
3	Lifelong Learning	Performance Measurement	Public/ Community Impact

FIG. 1(b)

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University			
	A Undergraduate Programs	B Graduate And Research Programs	C External Linkages
1	Undergraduate Curriculum	Graduate Program	Links Within The University
2	Undergraduate Student Relations	Research Program	Links To Other National And International Institutions
3	Staff Development	Research Support	Links To Industry And The Community

FIG. 1(c)

Technical Asset			
	A Scientific Strength	B Technological Strength	C Commercial Strength
1	Technical Framework	Commercial Readiness	Market Characteristics
2	Level of Verification	Proprietary Strength	Margin and Profit Potential
3	Excellence of Project Team	Technological Durability	Commercialization Channels

FIG. 1(d)

Approved by the Controller

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Performance Area	No.	Rating Level 1	Rating Level 2	Rating Level 3	Rating Level 4	X	Y
Proprietary Strength	1	Patent protection on the technology is not planned and/or is not feasible.	Patent disclosures and/or applications have been or could be prepared, but it is uncertain whether there is sufficient novelty to support strong claims.	Patent applications have been submitted to the US and/or other appropriate patent offices. The principal claims are viewed as strong and acceptance by the patent offices is anticipated.	The technology is well protected by strong process and/or product patents, with extensive geographic coverage.	a	1-a
	2	There is a dominant IP position in this field held by other parties.	The technology is in a competitive environment with essentially no significant IP position likely to held by any party.	The technology is in an active field but appears to have the potential to fill a significant IP gap.	The technology is in a relatively virgin field with ample opportunities for strong IP protection.	b	1-b
	3	The technology will not have any specific trademark designation and the marketing approach will have to rely on the intrinsic value of the technology.	Although a distinguishing trademark for the technology is not feasible, it belongs to a family of well-recognized commercial products or services and will benefit from this association.	Attaining a distinguishable trademark for the technology is feasible and should facilitate market introduction.	The technology has its own distinguishable trademark that will significantly increase market acceptability.	c	1-c
	4	No specific know-how is required to commercialize the technology, or if required, has been publicly disclosed.	Some specific, but not overly complex, know-how is required to commercialize the technology. Actions such as confidentiality agreements will be needed to maintain a proprietary advantage.	The technology as publicly disclosed will be difficult to apply commercially without the know-how of the developers.	The technology requires a high level of know-how in its application and it will be almost impossible to apply commercially without this knowledge.	d	1-d
	5	Gradual improvements to the technology will probably occur through further development, which may extend its life but unlikely its application or market share.	Gradual improvements to the technology will probably occur through further development and these should extend its application and market share.	The technology is at an early point in the maturity curve and significant improvements are likely which will have major business impacts.	The technology is at an early point in the maturity curve and significant improvements are likely which will have major business impacts. There is a high probability of valuable additional intellectual property protection.	e	1-e
						Sum X	Sum Y

FIG. 2

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Criteria	Letter Rating	Number Rating	X Wt.	Y Wt.	X	Y
1	B	1	0.0	1.0	0.0	1.0
2	D	3	0.0	1.0	0.0	3.0
3	C	2	0.0	1.0	0.0	2.0
4	A	0	0.2	0.8	0.0	0.0
5	B	1	0.0	1.0	0.0	1.0
6	A	0	0.2	0.8	0.0	0.0
7	B	1	0.2	0.8	0.2	0.8
8	C	2	0.0	1.0	0.0	2.0
9	B	1	0.2	0.8	0.2	0.8
10	B	1	0.2	0.8	0.2	0.8
11	B	1	0.5	0.5	0.5	0.5
12	A	0	0.2	0.8	0.0	0.0
13	B	1	0.2	0.8	0.2	0.8
14	C	2	0.8	0.2	1.6	0.4
15	C	2	0.8	0.2	1.6	0.4
16	C	2	1.0	0.0	2.0	0.0
17	B	1	0.2	0.8	0.2	0.8
18	D	3	0.5	0.5	1.5	1.5
19	B	1	0.8	0.2	0.8	0.2
20	B	1	0.2	0.8	0.2	0.8
21	C	2	0.2	0.8	0.4	1.6
22	D	3	0.2	0.8	0.6	2.4
23	C	2	0.2	0.8	0.4	1.6
24	B	1	1.0	0.0	1.0	0.0
25	B	1	1.0	0.0	1.0	0.0
26	C	2	1.0	0.0	2.0	0.0
27	B	1	1.0	0.0	1.0	0.0
28	C	2	0.8	0.2	1.6	0.4
29	B	1	0.2	0.8	0.2	0.8
30	B	1	0.8	0.2	0.8	0.2
31	C	2	1.0	0.0	2.0	0.0
32	C	2	1.0	0.0	2.0	0.0
33	B	1	1.0	0.0	1.0	0.0
34	B	1	1.0	0.0	1.0	0.0
35	A	0	1.0	0.0	0.0	0.0
36	A	0	1.0	0.0	0.0	0.0
37	B	1	0.8	0.2	0.8	0.2
Total			19.4	17.6	25.0	24.0

FIG. 3

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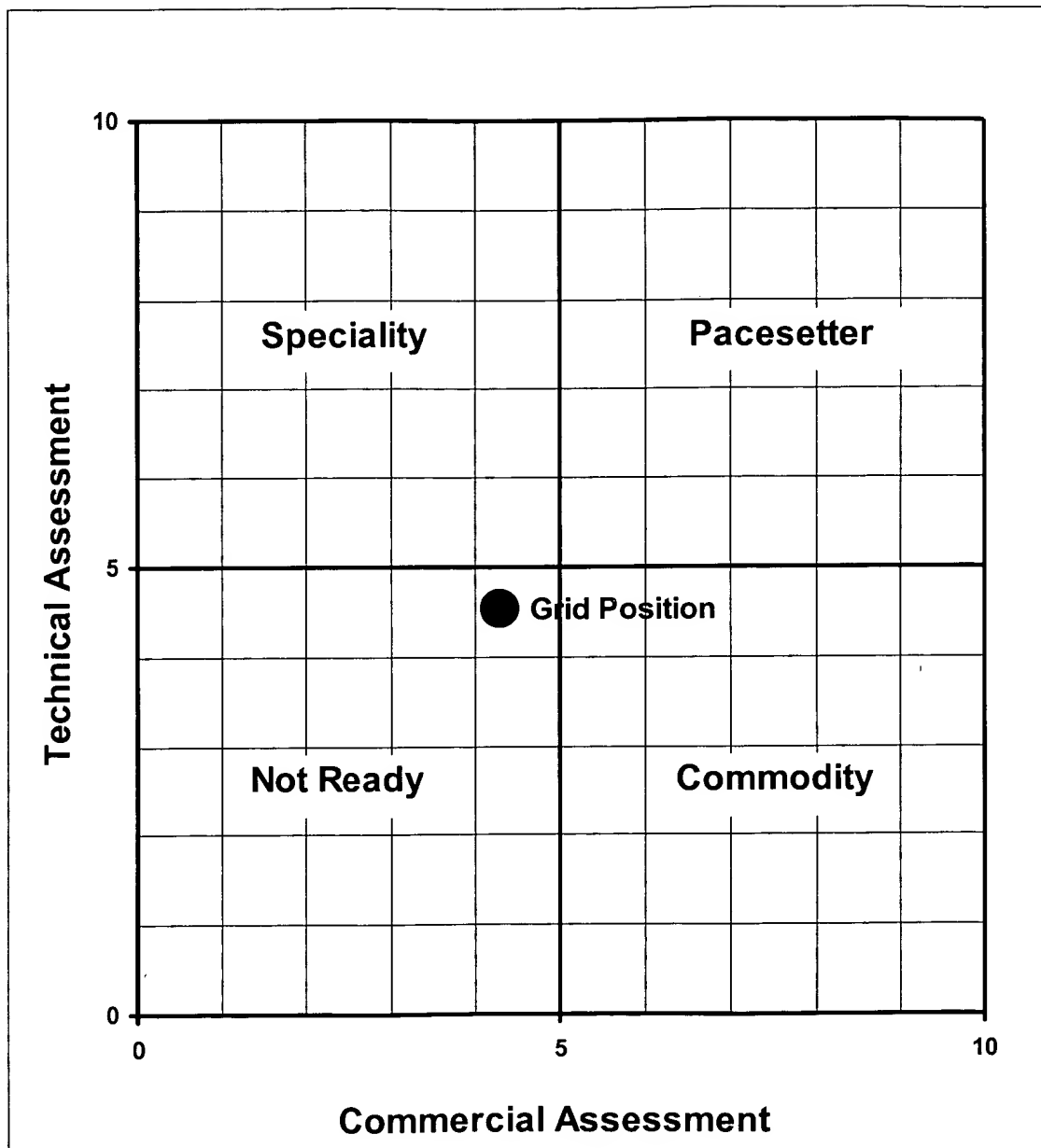


Fig. 4a

APPROVED	O.G. FIG.	
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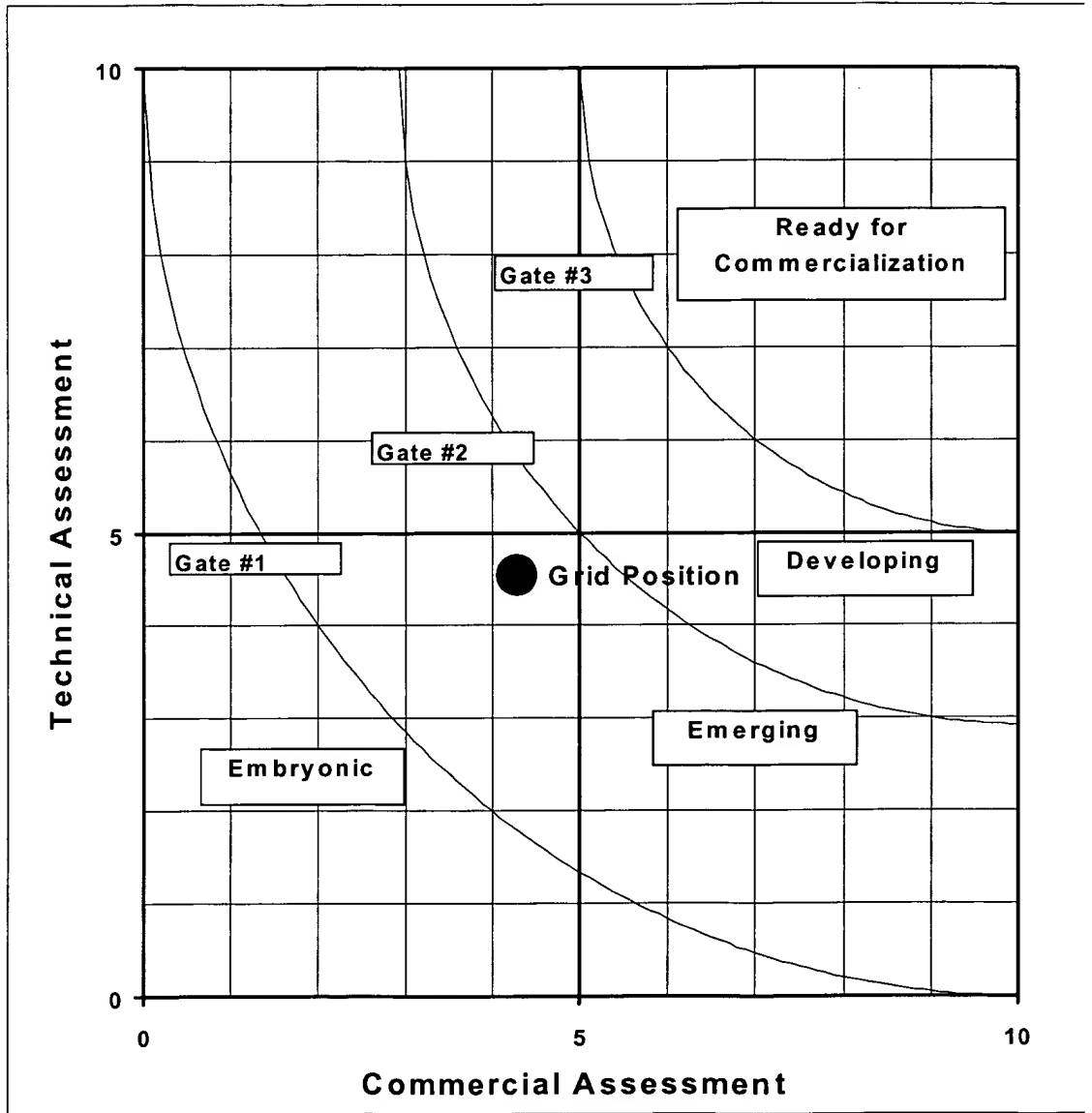


Fig. 4b

APPROVED	O.G. FIG.	
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Tech. #	X	Y	R
7	7.4	7.6	75.0%
10	6.9	7.9	73.5%
8	6.4	7.6	69.4%
3	7.2	5.9	64.9%
9	5.2	7.0	60.0%
1	6.7	5.3	59.4%
6	6.7	5.2	58.8%
4	6.0	5.5	57.4%
2	4.8	4.4	46.0%
5	2.9	3.1	30.0%

Fig 4c

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Application	Quadrant	Ultimate Grid Position	Definition
Company	Market Leader	10, 0	Current products and services dominate the market; there is no emphasis on developing new products and services.
	Innovator	0, 10	New products and services are being developed, with little effort towards defining or creating a market demand.
	Pacesetter	10, 10	Well balanced company, a market leader with current products and services, having active programs to develop new customers, new products and new services.
	Still Evolving	0, 0	
R&D Organization	Improver	10, 0	Meets the technical needs of current customers, with effective continuous improvement programs.
	Transformer	0, 10	Developer of major new processes and products, and/or extending the boundaries of science, with no immediate market connection.
	Pacesetter	10, 10	Well balanced organization, effective in meeting the needs of current clients, but constantly developing and searching for new clients, new products and new services.
	Still Evolving	0, 0	
University	Teaching University	10, 0	University well recognized for exceptional skills in teaching.
	Research Institute	0, 10	Research institute with a university style structure but exclusively focused on research and extending the boundaries of knowledge.
	Research University	10, 10	University which has effectively coupled its teaching and research skills.
	Still Evolving	0, 0	
Technical Asset	Commodity	10, 0	A product or service having high current market acceptance with minimum technical content.
	Specialty	0, 10	A highly technical product or service which has an ill defined or small existing or potential market.
	Pacesetter	10, 10	A highly technical product or service that has or is expected to have a major market impact.
	Not Ready	0, 0	

Fig. 5

APPROVED	O.G. FIG.	
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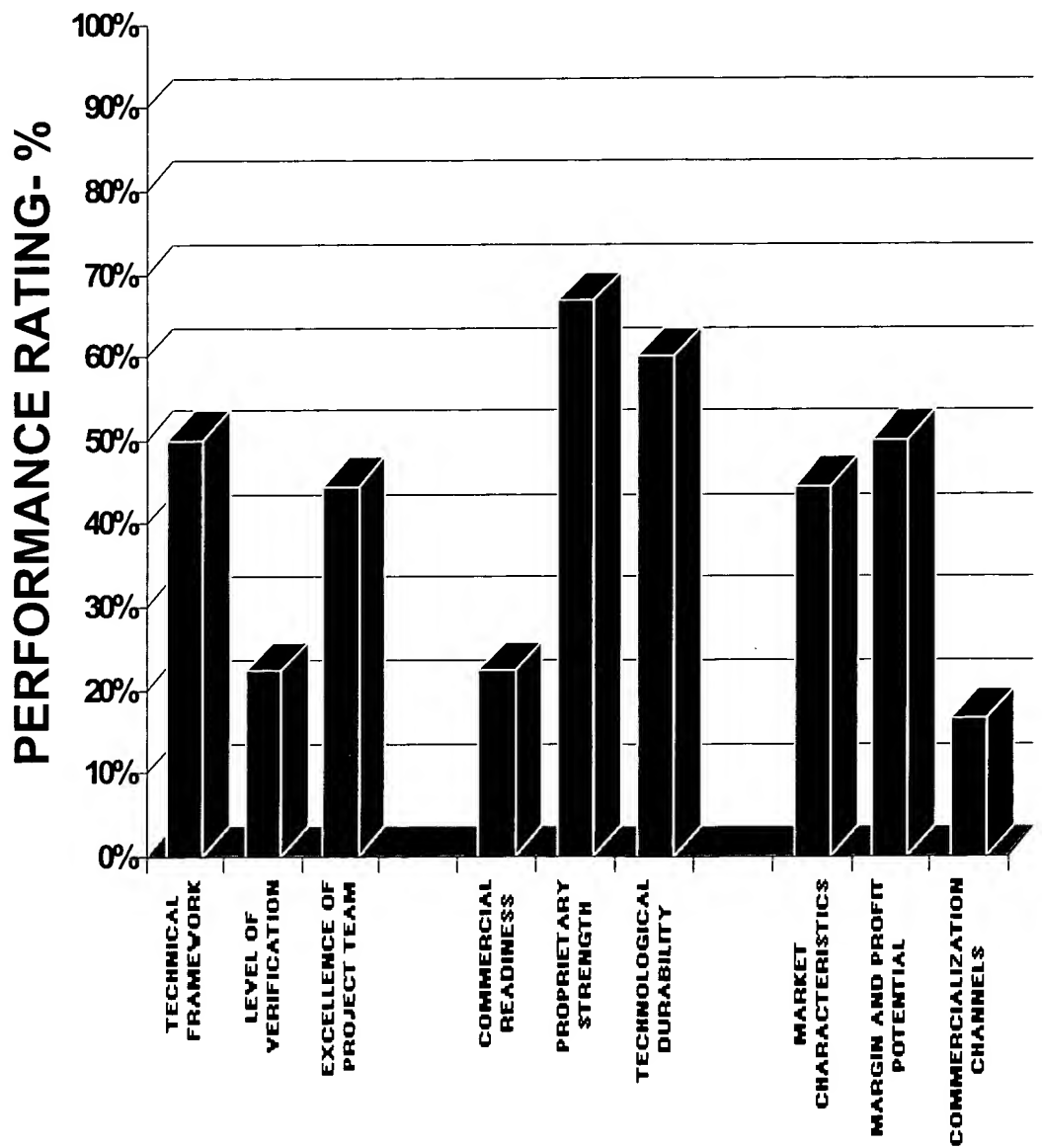


Fig. 6

APPROVED	O.G. FIG.	
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Pro-Grid - [Application Entry Form v1.2]

File Edit View Insert Format Records Tools Window Help

Application No. 2 Application Status 1 New = Not processed

Applicant Name Smith Title of Proposal New Device

Organization Company A Theme Manufacturing

Org. Department Dollars Req. \$100,000.00

Address

City Prov

Postal Code

Telephone Fax

E-Mail

☒ Print Applications

New Calculate

Go To

Setup Exit

Applicant Evaluation

Statement 1 A Statement 5 D

Statement 2 D Statement 6 C

Statement 3 A Statement 7 C

Statement 4 D

Reviewer Evaluation

Reviewer Name: A Code: 1

Statement 1 C Statement 5 C

Statement 2 C Statement 6 C

Statement 3 A Statement 7 B

Statement 4 C

Record: 1 of 6

Record: 1 of 4

Form View

FIG. 7

APPROVED	O.G. FIG.	
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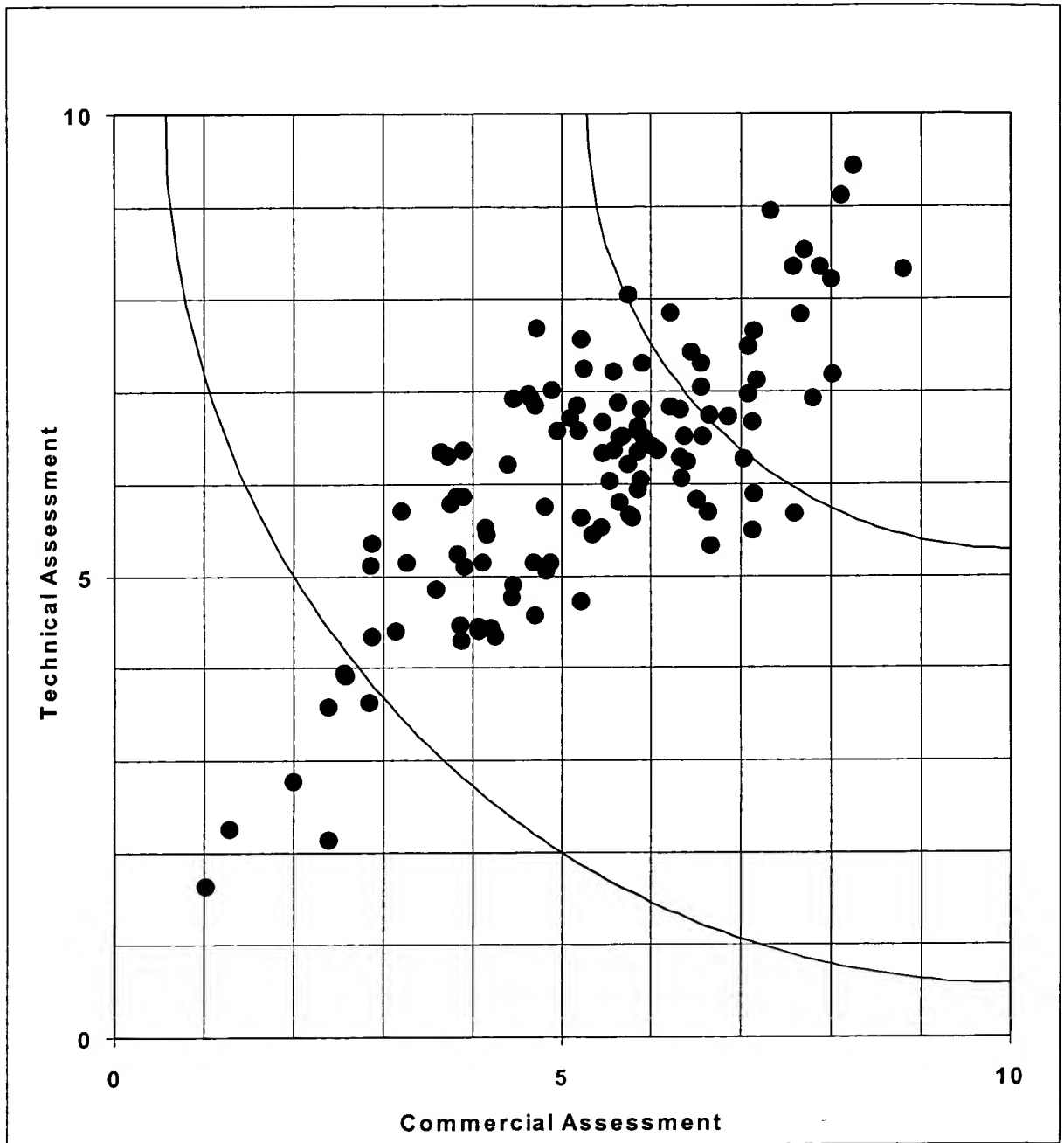


FIG. 8

[illegible]

8	9	10	11	12	13	14	15	16	17	18	19
No.	MS	Xwt	Ywt	X	Y	No.	R	code			MS
1	2	0	1	0	2	1	1	2	1	1	2
2	2	0	1	0	2	2	1	0	1	0	2
3	2	0	1	0	2	3	2	0	1	0	2
4	2	0.2	0.8	0.4	1.6	4	2	2	1	0	2
5	3	0	1	0	3	5	1	3	2	1	3
6	3	0.2	0.8	0.6	2.4	6	0	3	2	1	3
7	3	0.2	0.8	0.6	2.4	7	0	3	2	1	3
8	2	0	1	0	2	8	1	2	1	0	2
9	2	0.2	0.8	0.4	1.6	9	1	1	1	0	2
10	2	0.2	0.8	0.4	1.6	10	1	1	1	1	2
11	3	0.5	0.5	1.5	1.5	11	1	3	2	1	3
12	3	0.2	0.8	0.6	2.4	12	1	3	2	1	3
13	1	0.2	0.8	0.2	0.8	13	0	1	1	1	1
14	2	0.8	0.2	1.6	0.4	14	1	0	1	1	2
15	0	1	0	0	0	15	0	0	0	1	0
16	3	0.2	0.8	0.6	2.4	16	3	0	0	0	3
17	3	0.2	0.8	0.6	2.4	17	3	0	1	0	3
18	3	0.8	0.2	2.4	0.6	18	2	0	1	1	3
19	1	0.2	0.8	0.2	0.8	19	1	0	0	0	1
20	2	0.2	0.8	0.4	1.6	20	1	1	1	0	2
21	2	0.2	0.8	0.4	1.6	21	1	1	1	1	2
22	2	1	0	2	0	22	1	1	1	0	2
23	2	1	0	2	0	23	1	1	1	1	2
24	1	1	0	1	0	24	1	0	0	0	1
25	2	0.8	0.2	1.6	0.4	25	2	1	1	0	2
26	2	0.2	0.8	0.4	1.6	26	2	0	0	0	2
27	1	0.8	0.2	0.8	0.2	27	1	0	0	0	1
28	2	1	0	2	0	28	2	0	0	0	2
29	2	1	0	2	0	29	2	0	0	0	2
30	0	1	0	0	0	30	0	0	0	0	0
31	3	1	0	3	0	31	2	1	1	1	3
32	3	0.8	0.2	2.4	0.6	32	1	1	2	1	3
33	2	1	0	2	0	33	2	0	1	0	2
34	2	0.8	0.2	1.6	0.4	34	1	0	1	1	2

Fig. 9

APPROVED	O.G. FIG.	
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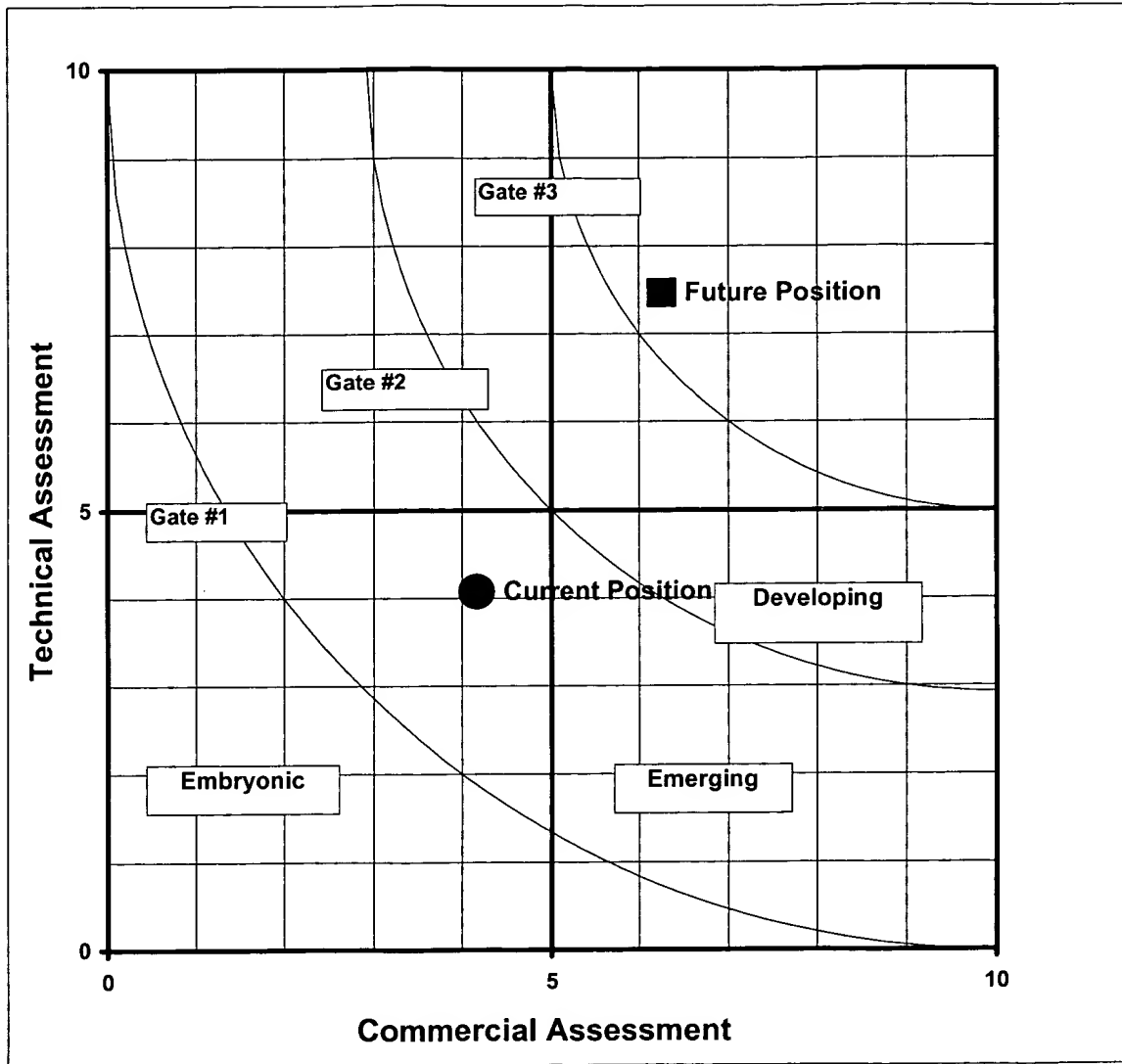


Fig. 10

APPROVED	O.G. FIG.	
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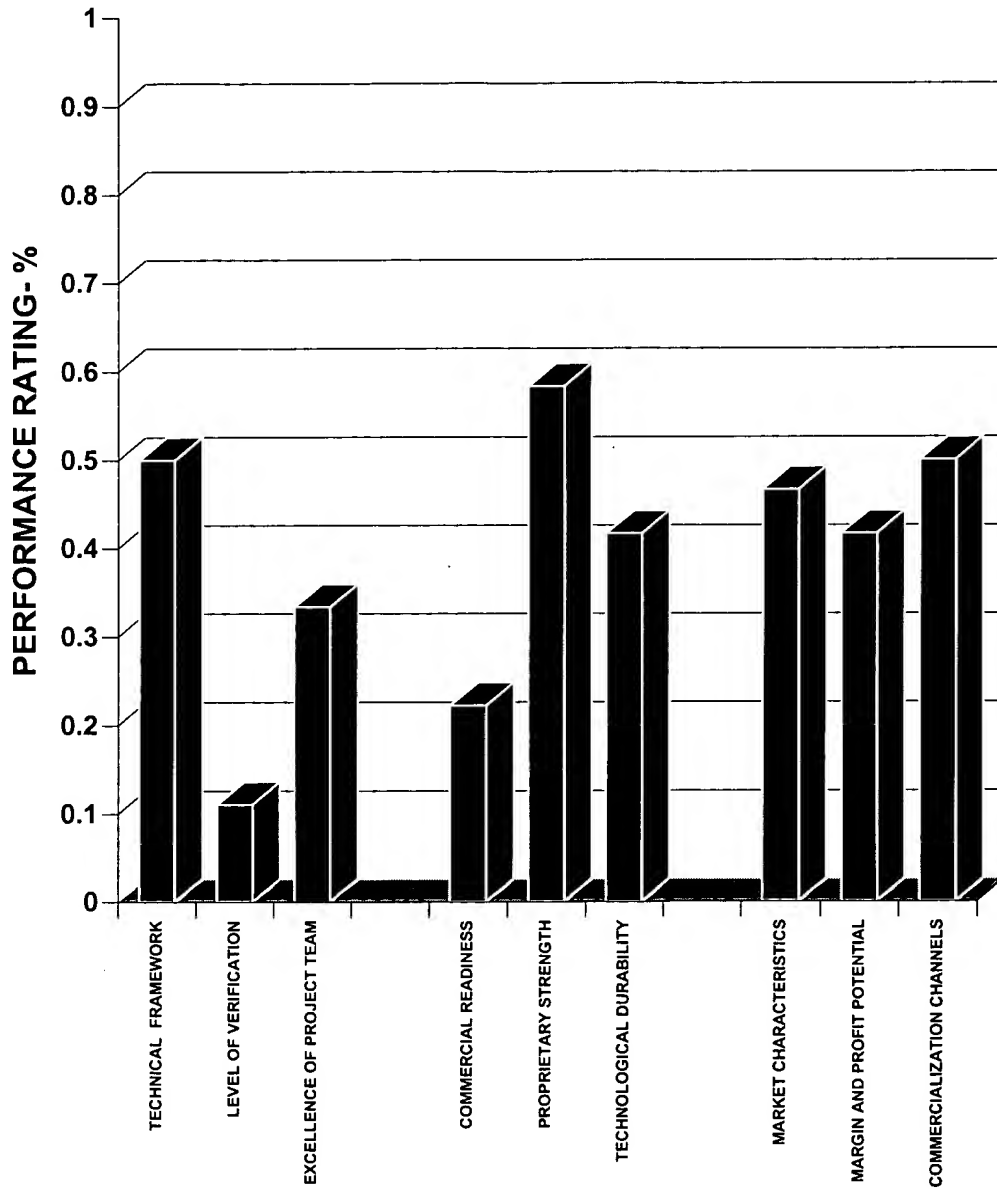


Fig. 11

APPROVED	O.G. FIG.	
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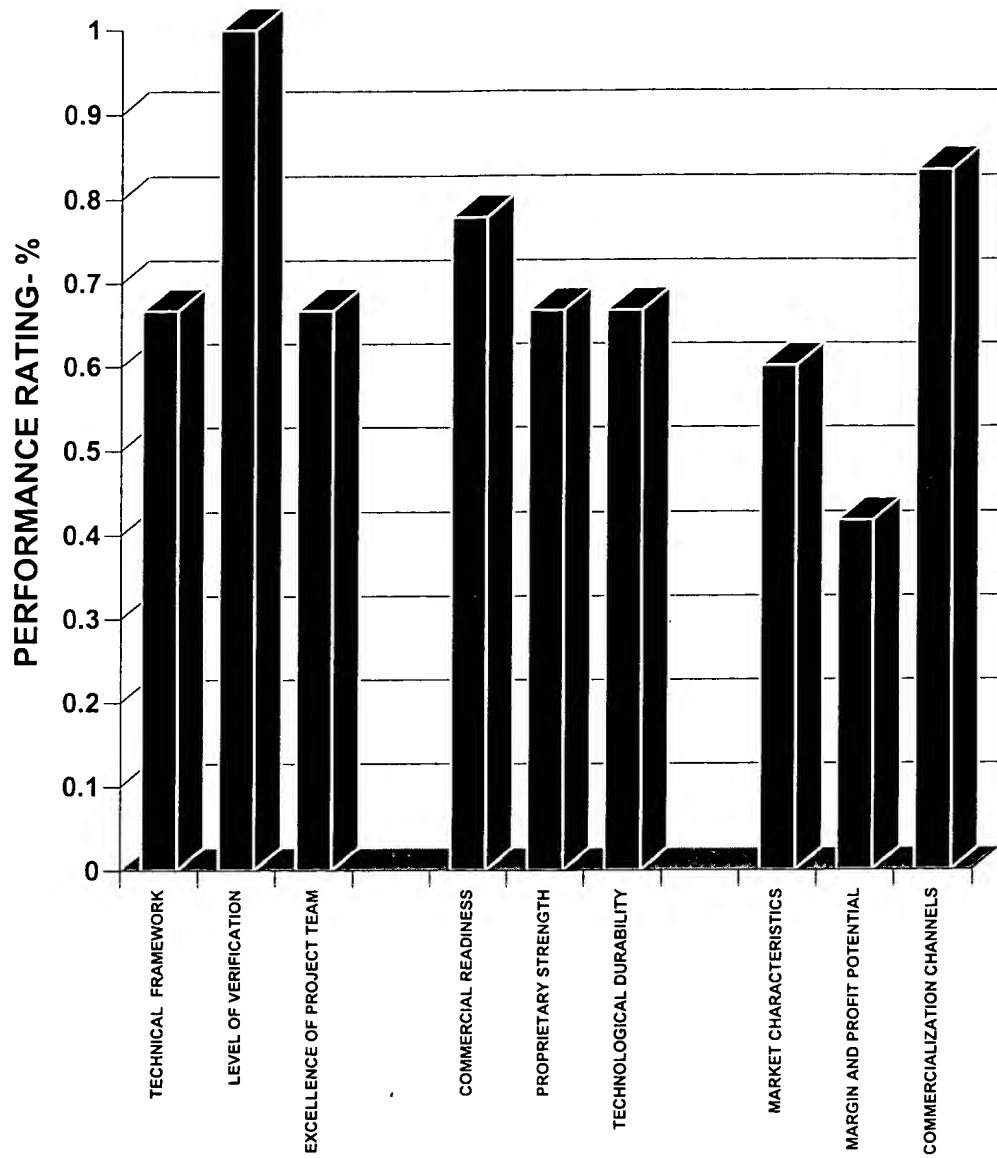


Fig. 12

Performance Area	No.	Rating Level 1	Rating Level 2	Rating Level 3	Rating Level 4	X	Y
Proprietary Strength	1	Patent protection on the technology is not planned and/or is not feasible.	Patent disclosures and/or applications have been or could be prepared, but it is uncertain whether there is sufficient novelty to support strong claims.	Patent applications have been submitted to the US and/or other appropriate patent offices. The principal claims are viewed as strong and acceptance by the patent offices is anticipated.	The technology is well protected by strong process and/or product patents, with extensive geographic coverage.	a	1-a
	2	There is a dominant IP position in this field held by other parties.	The technology is in a competitive environment with essentially no significant IP position likely to held by any party.	The technology is in an active field but appears to have the potential to fill a significant IP gap.	The technology is in a relatively virgin field with ample opportunities for strong IP protection.	b	1-b
	3	The technology will not have any specific trademark designation and the marketing approach will have to rely on the intrinsic value of the technology.	Although a distinguishing trademark for the technology is not feasible, it belongs to a family of well-recognized commercial products or services and will benefit from this association.	Attaining a distinguishable trademark for the technology is feasible and should facilitate market introduction.	The technology has its own distinguishable trademark that will significantly increase market acceptability.	c	1-c
	4	No specific know-how is required to commercialize the technology, or if required, has been publicly disclosed.	Some specific, but not overly complex, know-how is required to commercialize the technology. Actions such as confidentiality agreements will be needed to maintain a proprietary advantage.	The technology as publicly disclosed will be difficult to apply commercially without the know-how of the developers.	The technology requires a high level of know-how in its application and it will be almost impossible to apply commercially without this knowledge.	d	1-d
	5	Gradual improvements to the technology will probably occur through further development, which may extend its life but unlikely its application or market share.	Gradual improvements to the technology will probably occur through further development and these should extend its application and market share.	The technology is at an early point in the maturity curve and significant improvements are likely which will have major business impacts.	The technology is at an early point in the maturity curve and significant improvements are likely which will have major business impacts. There is a high probability of valuable additional intellectual property protection.	e	1-e
						Sum X	Sum Y

FIG. 2

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19
No.	L	R	Xwt	Ywt	X	Y	No.	MS	Xwt	Ywt	X	Y	No.	R	code			MS
1	B	1	0	1	0	1	1	2	0	1	0	2	1	1	2	1	1	2
2	B	1	0	1	0	1	2	2	0	1	0	2	2	1	0	1	0	2
3	C	2	0	1	0	2	3	2	0	1	0	2	3	2	0	1	0	2
4	C	2	0.2	0.8	0.4	1.6	4	2	0.2	0.8	0.4	1.6	4	2	2	1	0	2
5	B	1	0	1	0	1	5	3	0	1	0	3	5	1	3	2	1	3
6	A	0	0.2	0.8	0	0	6	3	0.2	0.8	0.6	2.4	6	0	3	2	1	3
7	A	0	0.2	0.8	0	0	7	3	0.2	0.8	0.6	2.4	7	0	3	2	1	3
8	B	1	0	1	0	1	8	2	0	1	0	2	8	1	2	1	0	2
9	B	1	0.2	0.8	0.2	0.8	9	2	0.2	0.8	0.4	1.6	9	1	1	1	0	2
10	B	1	0.2	0.8	0.2	0.8	10	2	0.2	0.8	0.4	1.6	10	1	1	1	1	2
11	B	1	0.5	0.5	0.5	0.5	11	3	0.5	0.5	1.5	1.5	11	1	3	2	1	3
12	B	1	0.2	0.8	0.2	0.8	12	3	0.2	0.8	0.6	2.4	12	1	3	2	1	3
13	A	0	0.2	0.8	0	0	13	1	0.2	0.8	0.2	0.8	13	0	1	1	1	1
14	B	1	0.8	0.2	0.8	0.2	14	2	0.8	0.2	1.6	0.4	14	1	0	1	1	2
15	A	0	1	0	0	0	15	0	1	0	0	0	15	0	0	0	1	0
16	D	3	0.2	0.8	0.6	2.4	16	3	0.2	0.8	0.6	2.4	16	3	0	0	0	3
17	D	3	0.2	0.8	0.6	2.4	17	3	0.2	0.8	0.6	2.4	17	3	0	1	0	3
18	C	2	0.8	0.2	1.6	0.4	18	3	0.8	0.2	2.4	0.6	18	2	0	1	1	3
19	B	1	0.2	0.8	0.2	0.8	19	1	0.2	0.8	0.2	0.8	19	1	0	0	0	1
20	B	1	0.2	0.8	0.2	0.8	20	2	0.2	0.8	0.4	1.6	20	1	1	1	0	2
21	B	1	0.2	0.8	0.2	0.8	21	2	0.2	0.8	0.4	1.6	21	1	1	1	1	2
22	B	1	1	0	1	0	22	2	1	0	2	0	22	1	1	1	0	2
23	B	1	1	0	1	0	23	2	1	0	2	0	23	1	1	1	1	2
24	B	1	1	0	1	0	24	1	1	0	1	0	24	1	0	0	0	1
25	C	2	0.8	0.2	1.6	0.4	25	2	0.8	0.2	1.6	0.4	25	2	1	1	0	2
26	C	2	0.2	0.8	0.4	1.6	26	2	0.2	0.8	0.4	1.6	26	2	0	0	0	2
27	B	1	0.8	0.2	0.8	0.2	27	1	0.8	0.2	0.8	0.2	27	1	0	0	0	1
28	C	2	1	0	2	0	28	2	1	0	2	0	28	2	0	0	0	2
29	C	2	1	0	2	0	29	2	1	0	2	0	29	2	0	0	0	2
30	A	0	1	0	0	0	30	0	1	0	0	0	30	0	0	0	0	0
31	C	2	1	0	2	0	31	3	1	0	3	0	31	2	1	1	1	3
32	B	1	0.8	0.2	0.8	0.2	32	3	0.8	0.2	2.4	0.6	32	1	1	2	1	3
33	C	2	1	0	2	0	33	2	1	0	2	0	33	2	0	1	0	2
34	B	1	0.8	0.2	0.8	0.2	34	2	0.8	0.2	1.6	0.4	34	1	0	1	1	2

SUM	16.9	17.1	21.1	20.9	16.9	17.1	31.7	38.3
		Current Position				Future Position		
TOTAL	X=	21.1	X Plot =	4.2	X=	31.7	X Plot =	6.3
TOTAL	Y=	20.9	Y Plot =	4.1	Y=	38.3	Y Plot =	7.5
				Current				Future
TECHNICAL FRAMEWORK				0.5				0.67
LEVEL OF VERIFICATION				0.11				1
EXCELLENCE OF PROJECT TEAM				0.33				0.67
COMMERCIAL READINESS				0.22				0.78
PROPRIETARY STRENGTH				0.58				0.67
TECHNOLOGICAL DURABILITY				0.42				0.67
MARKET CHARACTERISTICS				0.47				0.6
MARGIN AND PROFIT POTENTIAL				0.42				0.42
COMMERCIALIZATION CHANNELS				0.5				0.83

Fig. 9